



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration for Patent Application

[] Supplemental (37 C.F.R. §1.67),

As a named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated next to my name;

I believe I am the original, first and sole inventor (if only one name is listed) or an original, first and joint inventor (if plural names are listed in the signatory page(s) commencing at page 2 hereof) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Diffraction Structures for the Redirection and Concentration of Optical Radiation

the specification of which (check one)

[] is attached hereto.

[X] was filed on October 22, 2003 as United States Application Number 10/691,452.

[] was filed on [PCT Filing Date] as PCT International Application No. [PCT Appl'n No.] [OPTION and assigned United States Application No. []].

[] and was amended on [] (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. §1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119 or 365 of any foreign application(s) for patent or inventor's certificate, or of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			Priority Not Claimed	Certified Copy Filed?	
				YES	NO
(Number) _____	(Country) _____	(Day/Month/Year filed) _____	[]	[]	[]
(Number) _____	(Country) _____	(Day/Month/Year filed) _____	[]	[]	[]
(Number) _____	(Country) _____	(Day/Month/Year filed) _____	[]	[]	[]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole

or first inventor Michael J. Kardauskas

Inventor's Signature Michael J. Kardauskas Date JAN 6, 2004

Residence 8 River Street

Billerica, Massachusetts 01821

Citizenship U.S.

Mailing Address Same as above

Full name of second joint

inventor, if any Bernhard P. Piwczyk

Inventor's Signature Bernhard P. Piwczyk Date Jan 6, 2004

Residence 189 Robert Rogers Road

Dunbarton, New Hampshire 03046

Citizenship ~~CANADA~~ USA BPP.

Mailing Address Same as above

@PFDesktop\ODMA\MHODMA\iManage;433331;1



HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

POWER OF ATTORNEY OR AUTHORIZATION OF AGENT AND CORRESPONDENCE ADDRESS

Application Number	10/691,452
Filing Date	October 22, 2003
First Named Inventor	Michael J. Kardauskas
Confirmation Number	7331
Group Art Unit	1753
Examiner Name	Not Yet Assigned
Attorney Docket Number	3424.1000-002

Title	DIFFRACTIVE STRUCTURES FOR THE REDIRECTION AND CONCENTRATION OF OPTICAL RADIATION
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I/We hereby appoint

☒ the attorneys/agents associated with **Customer No. 021005**

☐ Practitioner(s) named below:

as my/our attorneys/agents to prosecute the application identified above, including any continuation or divisional applications thereof, and to transact all business in the United States Patent and Trademark Office connected therewith.

The correspondence address for the above-identified application is:

☒ Customer Number 021005

Hamilton, Brook, Smith & Reynolds, P.C.

530 Virginia Road

P.O. Box 9133

Concord, Massachusetts 01742-9133

☐ Other

Please direct all telephone calls and facsimiles to:

Name Timothy J. Meagher Tel. No. 978-341-0036 Fax No. 978-341-0136

I am the:

☐ Applicant/Inventor.

☒ Authorized representative of the Assignee, SunRay Technologies, Inc., of the entire interest. See 37 C.F.R. § 3.71. A Statement under 37 C.F.R. § 3.73(b) is enclosed.

☐ Authorized representative of the Assignee, [], together with [], of the entire interest. A Statement under 37 C.F.R. § 3.73(b) is enclosed.

SIGNATURE of Applicant or Assignee of Record

Name & Title	Michael J. Kardauskas , PRESIDENT
Signature	<i>Michael J. Kardauskas</i>
Date	FEBRUARY 20, 2004



Docket No. 3424.1000-002

STATEMENT UNDER 37 C.F.R. § 3.73(b)

Inventor(s): Michael J. Kardauskas and Bernhard P. Piwczyk
Application No./Patent No.: 10/691,452 Filed/Issue Date: October 22, 2003
For: DIFFRACTIVE STRUCTURES FOR THE REDIRECTION AND CONCENTRATION OF OPTICAL RADIATION

SunRay Technologies, Inc.

(Name of Assignee)

a Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is

- A. ☒ the assignee of the entire right, title and interest in the patent application identified above; or
B. ☐ an assignee together with [] of the entire right, title and interest in the patent application identified above.

The right, title and interest of the above-named assignee in the patent application identified above is established by virtue of:

- A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 014266, Frame 0607-0610, or a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or a copy thereof is attached.

- ☐ Additional documents in the chain of title are listed on a supplemental sheet.

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date: FEBRUARY 20, 2004

Name: Michael J. Kardauskas

Title: PRESIDENT

Signature: Michael J. Kardauskas



STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.27(a)) - SMALL BUSINESS CONCERN

DOCKET NUMBER: 3424.1000-002

Applicant or Patentee: Michael J. Kardauskas and Bernhard P. Piwczyk
Application or Patent No.: 10/691,452
Filed or Issued: October 22, 2003
Title: DIFFRACTIVE STRUCTURES FOR THE REDIRECTION AND CONCENTRATION OF OPTICAL RADIATION

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN SunRay Technologies, Inc.
ADDRESS OF SMALL BUSINESS CONCERN 8 River Street
Billerica, MA 01821

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416 or you may call 202-205-6618.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each person, concern or organization having rights in the invention must file separate statements as to their status as small entities. No rights to the invention are held by any person who would not qualify as a person under 37 CFR 1.27(a)(1), or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3).

Each additional person, concern or organization having any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.27(g)(2))

NAME OF PERSON SIGNING Michael J. Kardauskas

TITLE OF PERSON IF OTHER THAN OWNER _____

ADDRESS OF PERSON SIGNING 8 River Street, Billerica, MA 01821

SIGNATURE Michael J. Kardauskas DATE JAN. 20, 2004